



PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/607,410
Filing Date	06/25/2003
First Named Inventor	Li, Guoguang
Group Art Unit	Not Yet Assigned
Examiner Name	Not Yet Assigned
Attorney Docket Number	NAK-127

Total Number of Pages in This Submission

4

**ENCLOSURES (check all that apply)**

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter

- ☒ Other Enclosure(s) (please identify below):

References (14)

Remarks

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**Firm  
or  
Individual name

Ron Jacobs, Ph.D. Reg. No. 50,142

Signature

Date

9-25-03

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O.Box 1450, Alexandria, VA 22313

date: 9/25/03

Typed or printed name

AGA KLESZCZ

Signature

AKL

Date

9/25/03

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



**In the United States Patent and Trademark Office**

Application No.: 10/607,410  
Filing Date: 06/25/2003  
Title: "Method and Apparatus for Examining Features on Semi-Transparent Substrates"  
Applicant(s): Li, Guoguang  
Examiner: not yet assigned  
Art Unit: not yet assigned

Mailed 9-25-03  
Palo Alto, CA

**Information Disclosure Statement**

Commissioner of Patents and Trademarks  
Washington, District of Columbia 20231

Dear Sir or Madam:

Attached is a completed Form PTO-1449 and copies of the pertinent parts of the references cited thereon.  
It is requested that the document(s) on the enclosed form be made of record.

**Part I (Authority)**

This statement is filed pursuant to:

(X) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of the national applications; (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; or (3) before the mailing date of a first office action on the merits, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

( ) 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113 or (2) a notice of allowance under 37 C.F.R. § 1.311.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) (\$240), or a certification according to 37 C.F.R. § 1.97(e).

( ) 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97(c).

Accordingly, this information disclosure statement requires the petition fee specified in 37 C.F.R. § 1.17(i)(1) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$130), a certification according to 37 C.F.R. § 1.97(e), and a petition requesting consideration of the information disclosure statement.

**Conditional Petition**

It is respectfully requested that this information disclosure statement be considered, good cause being presented in Part III herein (certification). please treat this paper as the required petition.

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record.

To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

## Part II (Payment)

A check is enclosed as indicated:

- ☒ (X) No fee is due.
- ☐ ( ) The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$240).
- ☐ ( ) The petition fee specified in 37 C.F.R. § 1.17(i)(1) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) is enclosed (\$130).

## Part III (Certification)

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ☒ (X) No certification is necessary.
- ☐ ( )
  - (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
  - ☐ ( ) The "communication from a foreign patent office" referred to in the certification is an International Search Report, possibly issued by the U.S. Patent and Trademark Office in its capacity as an International Search Authority or International Preliminary Examining Authority.
  - ☐ ( ) The "counterpart foreign application" referred to in the certification corresponds to an ancestor or descendent application of the application for which this information disclosure statement is filed.
- ☐ ( ) (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

## Part IV (Additional Statement)

An additional statement regarding these items of information ( ) is, (X) is not, enclosed.

Copies of the cited art (X) are enclosed, ( ) are of record in parent application Serial No. \_\_\_\_\_ and will be provided if the Examiner deems it convenient.

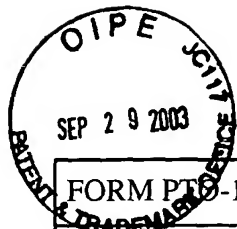
Dated:

9-25-03

Respectfully submitted,



Ron Jacobs, Ph.D.  
Reg. No. 50,142  
2345 Yale, 2<sup>nd</sup> Floor  
Palo Alto, CA 94306  
tel: (650) 424-0100  
fax: (650) 424-0141



FORM PT 9-1449 U.S. DEPARTMENT OF COMMERCE		ATTY. DOCKET NO. NAK-127/US	SERIAL NO. 10/607,410
LIST OF PRIOR ART CITED BY APPLICANT (Use several sheets if necessary)		APPLICANT Li, Gouguang	
		FILING DATE 06/25/2003	GROUP Not yet assigned

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER							DATE	NAME	RELEVANT INFORMATION
	A	4	8	6	6	7	8	2	10/12/1989	Sugie et al	
	B	4	7	5	7	2	0	7	07/12/1988	Chappelow et al	
	C	5	8	6	7	2	7	6	02/02/1999	McNeil et al.	
	D	5	3	6	3	1	7	1	11/08/1994	Mack	
	E	5	1	8	4	0	2	1	02/02/1993	Smith	
	F	5	9	6	3	3	2	9	10/05/1999	Conrad et al.	
	G	5	7	3	9	9	0	9	04/14/1998	Blayo et al.	
	H	5	6	0	7	8	0	0	03/04/1997	Ziger	
	I	6	4	8	3	5	8	0	11/19/2002	Xu et al.	
	J	6	3	4	0	6	0	2	01/22/2002	Johnson et al.	

### FOREIGN PATENT DOCUMENTS

		2- letter code	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
						YES	NO
	K						
	L						

### OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

M	Chopra, K.L., Thin Film Phenomena, p.99 (McGraw Hill)
	Cynthia B. Brooks, et al., "Process Monitoring of Etched Fused Silica Phase Shift Reticles", Proceedings of the SPI, 22 <sup>nd</sup> Annual BACUS Symposium of Technology and Management, September 30-October 4, 2002, Monterey, CA, USA
N	Alessandro Callegari and Katerina Babich, "Optical Characterization of Attenuated Phase Shifter", SPIE, Vol. 3050, pp. 504-517
	Pieter Burggraaf, "Lithography's Leading Edge, Part 1: Phase Shift Technology", February 1992, pp. 43-47
O	
P	

EXAMINER	DATE CONSIDERED
----------	-----------------

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.